



Substitute for form 2449A-PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

<b>Application Number</b>	10/781,805
<b>Filing Date</b>	February 20, 2004
<b>First Named Inventor</b>	Rajesh SUBBU et al.
<b>Art Unit</b>	3693
<b>Examiner Name</b>	Jared W. NEWTON
<b>Attorney Docket Number</b>	52493.000361

**Sheet** 1 of 7

## **U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/JN/		US- 5126936	06-30-1992	Champion et al.	
/JN/		US- 5148365	09-15-1992	Dembo	
/JN/		US- 5195026	03-16-1993	Nonaka	
/JN/		US- 5202827	04-13-1993	Sober	
/JN/		US- 5210687	05-11-1993	Wolfberg	
/JN/		US- 5347446	09-19-1994	Iino	
/JN/		US- 5351184	09-27-1994	Lu	
/JN/		US- 5550734	08-27-1996	Tarter	
/JN/		US- 5587897	12-24-1996	Iida	
/JN/		US- 5590037	12-31-1996	Ryan	
/JN/		US- 5659667	08-19-1997	Buescher	
/JN/		US- 5682465	10-28-1997	Kil	
/JN/		US- 5704044	12-30-1997	Tarter	
/JN/		US- 5732397	03-24-1998	DeTore	
/JN/		US- 5784696	07-21-1998	Melinikoff	
/JN/		US- 5799287	08-25-1998	Dembo	
/JN/		US- 5802500	09-01-1998	Ryan	
/JN/		US- 5875437	02-23-1999	Atkins	
/JN/		US- 5884283	03-16-1999	Manos	
/JN/		US- 5884286	03-16-1999	Daughtery	
/JN/		US- 5884287	03-16-1999	Edesess	
/JN/		US- 5918217	06-29-1999	Maggioncalda	
/JN/		US- 5926792	07-20-1999	Koppes	

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Substitute for form 1449A-PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT***(use as many sheets as necessary)*

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Sheet 2 of 7

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/JN/		US- 5930762	07-27-1999	Masch	
/JN/		US- 5991744	11-23-1999	DiCresce	
/JN/		US- 5999917	12-07-1999	Facciani	
/JN/		US- 6003018	12-14-1999	Michaud	
/JN/		US- 6018722	01-25-2000	Ray et al.	
/JN/		US- 6032109	02-28-2000	Ishii	
/JN/		US- 6049772	04-11-2000	Payne	
/JN/		US- 6078904	06-20-2000	Rebane	
/JN/		US- 6092050	07-18-2000	Lungren	
/JN/		US- 6098051	08-01-2000	Lupien	
/JN/		US- 6138102	10-24-2000	Hinckley	
/JN/		US- 6161096	12-12-2000	Bell	
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/JN/		US- 6240399	08-20-2001	Frank et al.	
/JN/		US- 6275814	08-14-2001	Giasante et al.	
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<b>Sheet</b>	3 of 7	<b>Attorney Docket Number</b>	52493.000361

## U.S. PATENT DOCUMENTS

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/JN/		US- 6373485	04-16-2002	Sowizral	
/JN/		US- 6393409	05-21-2002	Young et al.	
/JN/		US- 6405179	06-11-2002	Rebane	
/JN/		US- 6424952	07-23-2002	Yinbal	
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		<b>Examiner Name</b>	Jared W. NEWTON
<b>Sheet</b>	4 of 7	<b>Attorney Docket Number</b>	52493.000361

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Examiner Initials	Cite No	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/JN/		US- 20020059294	05-16-2002	Bottarelli	
/JN/		US- 20020082872	06-27-2002	Aoki	
/JN/		US- 20020091605	07-11-2002	Labe, Jr.	
/JN/		US- 20020091613	07-11-2002	Kendall	
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<b>Sheet</b>	5 of 7	<b>Attorney Docket Number</b>	52493.000361

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/JN/		US- 20040059609	03-25-2004	Chatlain	
/JN/		US- 20040078244	04-22-2004	Katcher	
/JN/		US- 20040078248	04-22-2004	Altschuler	
/JN/		US- 20040111278	06-10-2004	Brown	
/JN/		US- 20040181479	09-16-2004	Zosin et al.	
/JN/		US- 20040186804	09-23-2004	Chakraborty	
/JN/		US- 20040186814	09-23-2004	Chalermkraivuth	
/JN/		US- 20040199448	10-07-2004	Chalermkraivuth	
/JN/		US- 20040225536	11-11-2004	Schoen	
/JN/		US- 20040243499	12-02-2004	Bateson	
/JN/		US- 200500655250	03-10-2005	Wolfgang	
/JN/		US- 20050091085	04-28-2005	Colley	
/JN/		US- 20050154617	07-14-2005	Ruggieri	
/JN/		US- 20050187844	08-25-2005	Chalermkraivuth	
/JN/		US- 20050187845	08-25-2002	Eklund et al.	
/JN/		US- 20050187846	08-25-2005	Subbu et al.	
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/JN/		US- 20050187848	08-25-2005	Bonissone et al.	
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/JN/		US- 20020032585	03-14-2002	Keyes	
		US-			
		US-			
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<b>Sheet</b>	6 of 7	<b>Attorney Docket Number</b>	52493.000361

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Cite No.	FOREIGN PATENT DOCUMENT		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	TRANSLATION	
		Country Code Number-Kind Code (if known)					YES	NO
/JN/		JP	7-85110 (Abstract)	03-031-1995	Nobuaki		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		JP	63-279301 (Abstract)	11-16-1988	Masahiro et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		EP	0356191 A2	02-28-1990	Freedman et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		EP	0505087 A2	09-23-1992	Kumahora et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		JP	6-95707 (Abstract)	04-08-1994	Minoru et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	95/25295	09-21-1995	Krist et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	96/18162	06-13-1996	Atkins		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	98/13776	04-02-1998	Masch		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	99/23592	05-14-1999	Young et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	99/39290	08-05-1999	Pellegrinelli et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	99/49399	09-30-1999	Lang		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		JP	2001-76057 (Abstract)	03-23-2001	Norio		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	01/31481 A2	05-03-2001	Bullard et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	01/39005 A2	05-31-2001	Dembo et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	01/55890 A2	08-02-2001	Herschap et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	01/55939 A2	08-02-2001	Caruana et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	01/77872 A2	10-18-2001	Plumer et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	01/84355 A2	11-08-2001	Narang et al.		<input type="checkbox"/>	<input type="checkbox"/>
/JN/		WO	01/93153 A1	12-06-2001	Seidel et al.		<input type="checkbox"/>	<input type="checkbox"/>
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<b>Attorney Docket Number</b>	<b>52493.000361</b>

Sheet **7 of 7****OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS**

*Examiner Initials	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	TRANSLATION	
			YES	NO
/JN/		JPMorgan/Reuters RiskMetrics™ - Technical Documents Fourth Edition, Dec. 17, 1996	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Jorge Mina & Andrew Ulmer Delta-Gamma Four Ways August 31, 1999	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Stefan Pichler & Karl Selitsch A Comparison of Analytical VaR Methodologies for Portfolios That Include Options December 1999	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Jorge Mina & Jerry Yi Xiao return to RiskMetrics: The Evolution of a Standard April 2001	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Eklund, Neil Holger White, Multiobjective visible spectrum optimization: A genetic algorithm approach, Rensselaer Polytechnic Institute, Volume 6311B of Dissertations Abstracts International, 2002	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Abbass, H.A., Sarker, R Newton, C, PDE:a Pareto-frontier differential evolution approach for multi-objective optimization problems, Proceedings of the 2001 Congress on Evolutionary Computation, volume 2, IEEE, May 27-30, 2001	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Ignizio, James, An Algorithm for Solving the Linear Goal Programming Problem by Solving Its Dual, The Journal of the Operational research Society, Vol. 36, No. 6 (June 1985) pp 507-515	<input type="checkbox"/>	<input type="checkbox"/>
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/JN/		Bellmore, M, Generalized Penalty function Concepts in Mathematical Optimization, Operations research, Vol. 18, No. 2 (March-April 1970), pp. 229-252	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Iwamura, K., Chances constrained integer Programming Models for Capital Budgeting in Fizzy Environments, The Journal of the Operational Research Society, Vol. 49, No. 8 (August 1998), pp. 854-860	<input type="checkbox"/>	<input type="checkbox"/>
/JN/		Iyer, Naresh Sundaram, "A family of dominance filters for multiple criteria decision making: Choosing the right filter for a decision situation". Proquest Dissertations and Theses 2001. Section 0168, Part 0984 169 pages: [Ph.D. dissertation]. United States -- Ohio: The Ohio State University: 2001. Publication Number: AAT 3035522.	<input type="checkbox"/>	<input type="checkbox"/>

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